

# FCC Automated Auction System Bidder's Guide (Auction 37)

**November 3, 2004** 

#### **DISCLAIMER**

The Federal Communications Commission (the "Commission") will make available a web-based Automated Auction System for auction bidding purposes.

The Commission makes no warranty whatsoever with respect to the Automated Auction System. In no event shall the Commission, or any of its officers, employees or agents, be liable for any damages whatsoever (including, but not limited to, loss of business profits, business interruption, loss of business information, or any other loss) arising out of or relating to the existence, furnishing, functioning or use of the Automated Auction System that is accessible to bidders in connection with this auction. Moreover, no obligation or liability will arise out of the Commission's technical, programming or other advice or service provided in connection with the Automated Auction System.

# **Table of Contents**

1.	GEN	ERAL INFORMATION	1		
	1.1.	Overview of the FCC Automated Auction System			
	1.2.	Minimum Hardware and Software Requirements			
	1.3.	Phone Numbers	2		
2.	USIN	G THE SECURID KEY FOB TO ACCESS THE FCC BIDDING SYSTEM	3		
	2.1.	Logging In	4		
		2.1.1. Telephonic Bidders			
		2.1.2. Electronic Bidders	4		
		2.1.3. First-Time Logon Procedure	5		
		2.1.4. Standard Logon Procedure	6		
	2.2.	Message Window	6		
	2.3.	Additional Information	7		
		2.3.1. Licenses/Construction Permits	7		
		2.3.2. Multiple Bidding Sessions	7		
		2.3.3. Incorrect Logon – "Next Tokencode" Mode	7		
		2.3.4. Forgotten PIN number	8		
		2.3.5. Lost SecurID Key Fob or BIN	8		
		2.3.6. Damaged SecurID Key Fob	8		
		2.3.7. Account Lockout	8		
3.	ELEN	MENTS ON THE HOME PAGE	9		
	3.1.	Auction Summary	11		
	3.2.	Bidder Summaries			
4.	BIDD	ING	14		
••	4.1.	Placing Bids			
		4.1.1. Obtaining a List of Permits			
		4.1.2. Typing Permit Names for Bidding	15		
		4.1.3. Place Bids Page			
		4.1.4. Importing Bids			
		4.1.5. Exporting Bids			
	4.2.	Removing Bids	22		

ADM	IN FUNCTION	31
5.2.	Downloads	30
	5.1.2. Exporting Bids from the Current Results Set	29
	5.1.1. Current Results Set	29
5.1.	Results Explorer	28
ROU	ND RESULTS	27
4.7.	Submitting a Proactive Waiver	26
4.6.	Viewing and Reducing Eligibility	25
4.5.	Verifying Your Bidding Activity	25
4.4.	Viewing Your Bidding Activity	24
4.3.	Withdrawing High Bids	23
2	4 3	4.3 Withdrawing High Bids

# 1. General Information

This document describes the features of the web-based FCC Automated Auction System and tells how to use it to participate in Auction 37, which offers construction permits for FM Broadcast.

## 1.1. Overview of the FCC Automated Auction System

The FCC Automated Auction System is designed to serve the needs of qualified bidders, the public, and authorized FCC personnel:

- Qualified bidders use the FCC Automated Auction System to participate in the auction. The bidding and administrative (admin) features are password-protected for security and the contents of displayed bidding-related pages are tailored to each individual bidder.
- For the benefit of any interested party, the FCC Automated Auction System provides summary information on the activity in an auction, current as of the end of the preceding round, as well as the current high bid on each available construction permit. It can also provide information about the bidding activity of any eligible bidder.
- Qualified bidders can use administrative functions of the FCC Automated Auction System to make minor changes to information they submitted on their Form 175s.

**Disclaimer:** The examples that appear as illustrations or text in this document are based on fictional data. Any similarity to actual company names, PINs, Bidder Identification Numbers (BINs), or other personal information is coincidental.

# 1.2. Minimum Hardware and Software Requirements

The following hardware and software, at a minimum, are required to use the FCC Automated Auction System:

• CPU: Pentium 133 or above

• RAM: 32 MB (64 MB recommended)

Monitor: VGA or above

Mouse or other pointing device

Operating System: Microsoft® Windows<sup>TM</sup> 95<sup>TM</sup>, 98<sup>TM</sup>, 2000<sup>TM</sup>, ME<sup>TM</sup>, NT<sup>TM</sup>, XP<sup>TM</sup>

- Web Browser, either of the following:
  - Microsoft® Internet Explorer 4.0 or higher (recommended). Your browser must have either Microsoft VM or Java Plug-In Version 1.3.1 08 installed.
  - Netscape® Communicator™ 4.0 or higher, with Java Plug-In Version 1.3.1\_08.
     Java Plug-In Version 1.3.1\_08 is available for downloading at <a href="http://java.sun.com/products/archive/index.html">http://java.sun.com/products/archive/index.html</a>

In addition, users accessing the FCC Automated Auction System via the FCC's Wide Area Network will need:

- Modem: 28.8 Kbps Hayes© compatible modem or faster (56 Kbps recommended)
- Point-to-Point Protocol (PPP) Dialer: Use the Dial-Up Networking feature included with the operating system

#### 1.3. Phone Numbers

For technical assistance with accessing the FCC Automated Auction System, contact the FCC Technical Support Hotline at (202) 414-1250 (V) or (202) 414-1255 (TTY). The FCC Technical Support Hotline is generally available Monday through Friday from 8 a.m. to 6 p.m. ET. *All calls to the FCC Technical Support Hotline are recorded*.

For legal questions, contact Legal and Policy at (202) 418-0660. For general auction information, contact the FCC Bidder Line at the telephone number provided in the registration mailing.

# 2. Using the SecurID Key Fob to Access the FCC Bidding System

Security challenges are enormous. The FCC needs to be assured that the person "on the other side" of the Internet or telephone is who he or she claims to be and is authorized to participate in the auction. We must ensure the authenticity of people, devices, and transactions for the remote electronic bidder as well as those who choose to bid telephonically. These RSA SecurID<sup>®</sup> key fobs, along with your Bidder Identification Number (BIN) and Personal Identification Number (PIN), provide extremely strong security and enhanced trust for bidders and FCC alike.

The SecurID key fob you received must be used to logon to the FCC Automated Auction System, whether you are bidding electronically or telephonically. Please note that each SecurID fob is tailored to a specific auction. Therefore, SecurID fobs (or SecurID cards) issued for other auctions or obtained from a source other than the FCC will not work for Auction No. 37.

The SecurID key fob generates and displays random numbers, called "tokencodes," that change every 60 seconds.



Upon receipt, your SecurID fob will be in "new PIN" mode. This means you will have to establish your PIN during your first access (remote electronic or telephonic) to the FCC Automated Auction System. You should make your PIN a 4- to 8- digit number that is easy for you to remember.

To participate in the mock auction or the live auction, you must identify yourself as an eligible bidder by *logging on* to the system. To logon, you must enter your FCC-assigned BIN and a "passcode." The passcode has two parts:

- A personal identification number (PIN) that you create
- The tokencode displayed on the RSA SecurID key fob you have received in this package.

Bidders will use the same BIN and PIN for both the mock auction and the live auction.

### 2.1. Logging In

## 2.1.1. Telephonic Bidders

If you have no Internet access and will be placing bids by telephone, you will be prompted in the PIN selection process during your first contact with the telephonic bid assistant. The telephonic bidding phone number was provided in a separate mailing. On subsequent accesses you will be prompted for your BIN, the PIN you specified previously, and the tokencode displayed on your SecurID key fob.

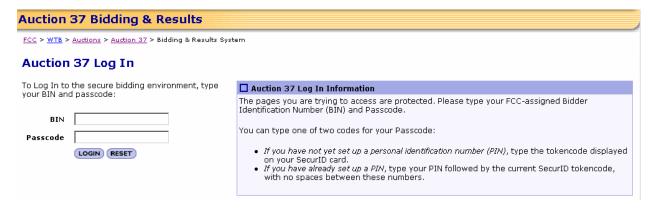
#### 2.1.2. Electronic Bidders

To access the FCC Automated Auction System, point your web browser to *http://auctions.fcc.gov/* and click the **Bidding & Results Systems** link. On the Bidding & Results page, click either **Mock Auction 37** or **Auction 37**, depending on whether you want to participate in the mock auction or real auction.

This produces the initial version of the Auction Home page. Note that the Home page for the mock auction is always labeled Auction 74.

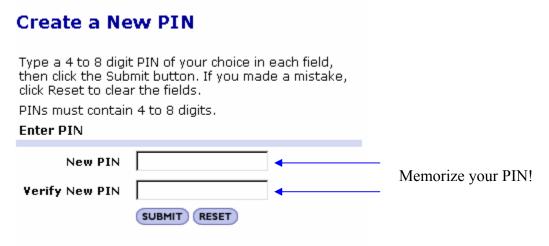


Once you have accessed the FCC Automated Auction System, you can begin the logon procedure. Go to the SecurID Logon area at the top left-hand corner of the FCC Automated Auction System Home page and click the **Logon** link. The Login page appears.



#### 2.1.3. First-Time Logon Procedure

In the **BIN** field, type the BIN assigned by the FCC. In the **Passcode** field, type the tokencode displayed on your SecurID key fob. Then click the **Login** button to obtain the Create a New Pin page.



Type a 4- to 8-digit PIN (numbers only!) of your choice in each field, then click the **Submit** button. *Memorize this PIN!* If the numbers you type in each field do not match, an error screen appears. Follow the instructions to return to the login process.

Clicking **Submit** takes you back to the Login page, where you will have to login using your new PIN. Before you login, *wait for a new tokencode to appear on your SecurID key fob*. *Do not* use the same tokencode used on the previous login.

## Auction Log In

To Log In to the secure bidding environment, type your BIN and passcode:

New PIN accepted. You are required to authenticate with your new PIN. Please wait for the number to change on your token and then use it in the space provided.

BIN	
Passcode	
	LOGIN RESET

ш	ΑU	CTIO	n Lo	a In	INTO	rmatio

The pages you are trying to access are protected. Please type your FCC-assigned Bidder Identification Number (BIN) and Passcode.

You can type one of two codes for your Passcode:

- If you have not yet set up a personal identification number (PIN), type the
  tokencode displayed on your SecurID card.
- If you have already set up a PIN, type your PIN followed by the current SecurID tokencode, with no spaces between these numbers.

# 2.1.4. Standard Logon Procedure

After your first logon, follow these standard procedures each time you want to access the system. In the **BIN** field, type the BIN assigned by the FCC. In the **Passcode** field, type the PIN you created, followed by the tokencode displayed on your SecurID key fob—with **no** spaces between the numbers. Then click the **Login** button.

Example: Your PIN number is 1234

The current tokencode displayed is 87334

In the **Passcode** field you would type 123487334

## 2.2. Message Window

The FCC Auction Message Window displays any messages that the FCC Auction Administrator has sent to bidders. If new messages have been issued since you last logged on, the window will pop up at logon. The window will also pop up during the auction, if the Administrator issues a message.

We strongly encourage bidders to read all messages and announcements. Once you have read the messages, you can either retain them or delete them as follows: To retain the messages, minimize the window or click the **Close** button at the bottom of the Message Window. To close the window and delete all messages, click the **Confirm** button at the bottom of the Message Window.

#### 2.3. Additional Information

#### 2.3.1. Licenses/Construction Permits

On the FCC Automated Auction System, all references to "licenses" refer to construction permits for this auction.

#### 2.3.2. Multiple Bidding Sessions

Once you have logged on to the FCC Automated Auction System, opening another web browser session and logging on again will produce unpredictable results.

Each qualified bidder has been given multiple SecurID key fobs to cover various business contingencies, such as bidders in geographically dispersed locations. While all SecurID key fob holders are welcome to logon and view round results, be sure that only one bidder submits bids. Multiple bidders for the same company who submit bids in the same round could cause unpredictable results, such as Bidder A's bids **replacing** Bidder B's bids.

## 2.3.3. Incorrect Logon – "Next Tokencode" Mode

If someone tries to logon five or more times with a series of incorrect passcodes (that's your PIN + Tokencode), the system puts them in "Next Tokencode" mode. Once that user finally enters a correct passcode, the system will display the following screen, asking them to enter another tokencode to fully authenticate their access to the FCC Automated Auction System.

# Request a New Tokencode

*Important:* Follow the instructions on the screen. Enter the next tokencode displayed by your SecurID key fob. Do not include your PIN this time, just the tokencode.

#### 2.3.4. Forgotten PIN number

If a bidder forgets their PIN, they should contact FCC Technical Support (202-414-1250) to have the PIN reset. Please note, however, that this process may not occur before the next bidding period begins.

#### 2.3.5. Lost SecurID Key Fob or BIN

Lost Bidder Identification Numbers or SecurID key fobs can be replaced only by appearing *in person* at the FCC Headquarters, located at 445 12<sup>th</sup> Street, SW, Washington, DC. Only an authorized representative or the certifying official, as designated on the applicant's FCC Form 175, may appear in person with two forms of identification (one of which must be a photo identification) in order to receive replacements. Qualified bidders requiring replacements must call FCC Technical Support (202-414-1250) prior to arriving at the FCC.

#### 2.3.6. Damaged SecurID Key Fob

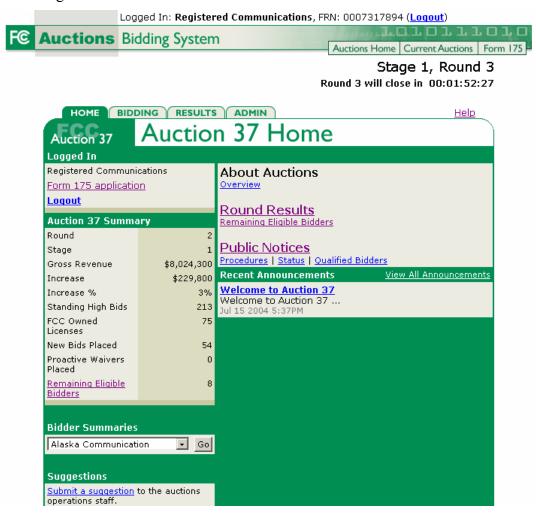
If your SecurID key fob is damaged, call Technical Support (202-414-1250) to request a replacement. Once Technical Support has verified that the key fob is unusable, a new key fob will be sent via overnight mail along with a self-addressed, stamped envelope in which you can return the damaged key fob.

#### 2.3.7. Account Lockout

During an auction, the system keeps track of the success or failure of each login attempt made by the bidders of a qualified applicant. Twenty (20) consecutive unsuccessful attempts to logon to the FCC Automated Auction System by any one account will result in *all* account SecurID key fobs assigned to that account being disabled. If that happens, anyone can call Technical Support (202-414-1250) to have the account reset, but Technical Support will always call the official contact person to confirm the need for reset.

# 3. Elements on the Home Page

Once you have logged on successfully, the Auction Home page should look similar to the following.



Note that because you have logged on, your information appears above the title bar and the SecurID Logon area is now labeled Logged In. Both places provide a **Logout** link.

The Auction Home page has the following components:

• Tabs at the top that you can click to navigate from one page to another in the system.

When you first access the FCC Automated Auction System, the Auction Home page displays only its own tab (**Home**) and a tab for the Round Results page, because these pages are

available to the public as well as to bidders. However, the **Bidding** and **Admin** tabs appear once you have logged on successfully.

• A timer below the title bar shows how much time remains in the current round to submit bids, remove bids, withdraw high bids, reduce eligibility, or apply a proactive waiver. Between rounds, the message shows the time remaining until the next round begins.

**Note:** The timer information is also displayed on the toolbar at the bottom of the screen.

Because no warning message is issued, you must monitor the timer to determine the time remaining in a round. If the timer is not visible on your screen, contact the FCC Technical Support Hotline.

- Three links on the title bar:
  - Auctions Home takes you to the FCC Auctions page
  - Current Auctions takes you to information and links for upcoming FCC auctions
  - Form 175 accesses the FCC Auctions Form 175 page
- At the left of the page, a summary of information about the auction, current as of the end of the preceding round. For details, see <u>Auction Summary</u> on page 11.
- A <u>Bidder Summaries</u> drop-down list (described on page 12) that lets you obtain the Results page with information for any bidder.
- A Submit a suggestion link lets you obtain a Suggestions page that you can fill in and send
  to the FCC Auctions Operations staff. This feature is only available to qualified bidders after
  they have logged on.
  - Bidders should not use this feature to ask questions about bidding procedures. For answers to those questions, contact the FCC Bidder Line at the telephone number provided in the registration mailing.
- An About Auctions entry that has an **Overview** link of FCC Simultaneous Multiple Round Auctions.
- A link to the <u>Round Results</u> page (see page 27) and a **Remaining Eligible Bidders** link that lets you obtain information about the remaining bidders in the auction. Round results are only available after Round 1 processing has been completed.
- Four Public Notice links:
  - Public Notices takes you to the web page that contains the FCC Public Notices for this auction.
  - Procedures displays the Procedures Public Notice for this auction.
  - Status displays the Status Public Notice for this auction.
  - Qualified Bidders displays the Qualified Bidders Public Notice for this auction.

Announcements the FCC has issued for this auction. If there are too many announcement
entries to fit on the screen, you can click the View All Announcements link to see all of
them.

## 3.1. Auction Summary

This area provides summary data about the auction, current as of the end of the preceding round, including the total gross revenue, the number of construction permits on which no bids have been placed (FCC Owned Licenses), and the number of new bids placed in that round.

The area also provides a **Remaining Eligible Bidders** link that produces this page:



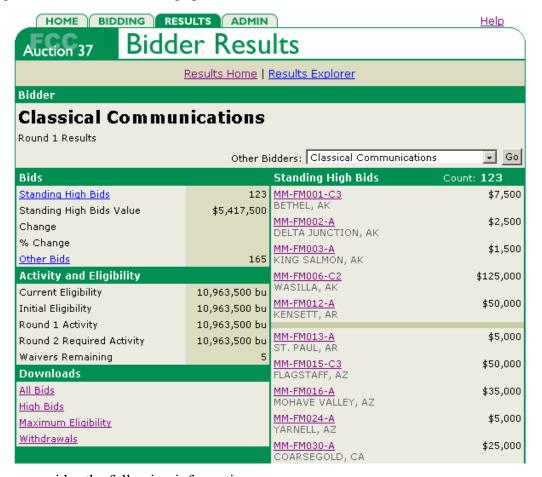
The Remaining Eligible Bidders page shows the following information about the bidders who are still active in the auction:

- **Bidder** name. Each name is a link that you can click to obtain the Results page with information for that bidder.
- Standing High Bids held by this bidder
- Standing High Bids Value in dollars
- Current Eligibility is the amount of bidding units available to the bidder in this round. The combination of the bidding units for the bidder's standing high bids and any new bids they submit in this round may not exceed their Current Eligibility.
- Waivers Remaining. A bidder can submit a proactive waiver in order to avoid having to meet the minimum bidding activity requirement in a given round.

Information for Bidders No Longer Eligible is provided at the bottom of the Remaining Eligible Bidders page.

#### 3.2. Bidder Summaries

The Bidder Summaries drop-down list lets you obtain summary information for any bidder. Essentially, this is the same kind of information about other bidders that the system provides about you on the Bidding page. Selecting a bidder from the drop-down list and clicking the **Go** button produces a Bidder Results page.



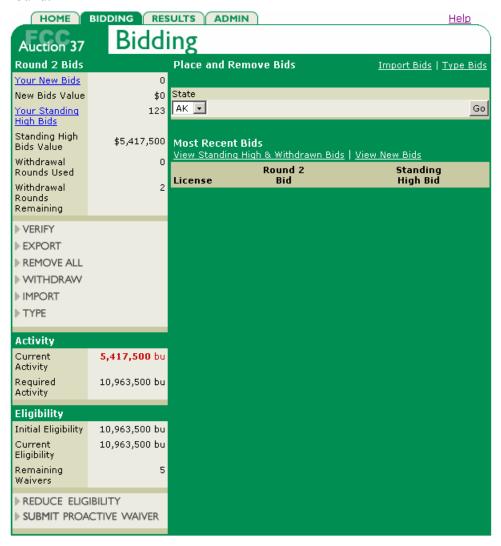
This page provides the following information:

- A Bids area that provides links to and shows the number and dollar value of the **bidder's standing high bids**, and the number of **other bids** (*i.e.*, non-high bids).
- An Activity and Eligibility area that lists current and initial eligibility, activity in the
  preceding round, required activity in the current or next round, and waivers remaining.
- A Downloads area that provides links to round results reports. For details, see <u>Downloads</u> on page 30.
- A list of their Standing High Bids.

• A list of any Other Bids (*i.e.*, non-high bids).

# 4. Bidding

The Bidding page lets you submit and remove bids, and perform other bidding functions. It also displays a summary of your eligibility and the bids you have placed during the current bidding round.



From this page, you can do the following:

- Place bids; see <u>Placing Bids</u> on page 15. This section also explains how to automate the bid placement process by importing bid amounts from, and exporting them to, text files.
- Remove bids you placed in the current round; see <u>Removing Bids</u> on page 22.
- Withdraw high bids; see *Withdrawing High Bids* on page 23.

- View your bidding activity; see <u>Viewing Your Bidding Activity</u> on page 24.
- Obtain a printable summary of your bidding activity and eligibility; see *Verifying Your Bidding Activity* on page 25.
- View and reduce your eligibility; see *Viewing and Reducing Eligibility* on page 25.
- Submit a proactive waiver in lieu of a bid, to preserve your current eligibility and keep the auction from closing; see <u>Submitting a Proactive Waiver</u> on page 26.

#### 4.1. Placing Bids

The FCC Automated Auction System lets you place bids on multiple licenses/construction permits and submit all of these bids simultaneously. Placing a bid on a license/construction permit involves locating the entry for the permit and specifying your bid amount. Unlike many online auctions, where you type in the amount you want to bid, the FCC Automated Auction System provides a drop-down list with the available bidding values, and you choose your bid amount from those values.

There are three ways to place bids:

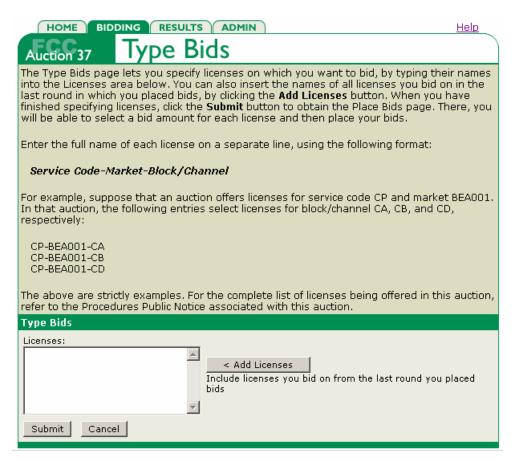
- Obtain a list of the construction permits on which you are qualified to bid, and then select and submit bids using that list. See *Obtaining a List of Permits*.
- Specify the names of construction permits on which you want to bid, then place bids on the list of permits. You may either type the names directly or obtain the names of construction permits on which you last bid. See *Typing Permit Names for Bidding* on page 15.
- Import bids in text files. See *Importing Bids* on page 20.

#### 4.1.1. Obtaining a List of Permits

The Place and Remove Bids area at the top right-hand corner of the page has a drop-down list that you can use to obtain a list of the construction permits within a specific state on which you are qualified to bid. When you have selected a state and click **Go**, the system produces a list of construction permits within that state. This list is provided on a Place Bids page. See <u>Place Bids Page</u> on page 17.

#### 4.1.2. Typing Permit Names for Bidding

If you know which construction permits you want to bid on, you can type their names and have them added to your Place Bids list. You can also request the names of the construction permits on which you last placed bids. To use these options, click either the **TYPE** link in the left-hand column or the **Type Bids** link at the top right corner of the page. When the Type Bids page appears, you must put the names of the construction permits you want into the *Licenses* field.



You can specify construction permit names by either typing them directly or inserting the names of all construction permits you bid on in the last round you placed bids.

# **Format for Typed Names**

In the *Licenses* field, you can type the names of any construction permits on which you are qualified to bid. When typing these names, you must use the following format:

#### Service Code-Market-Class

For example, the following entries select construction permits for FM008 and FM022:

MM-FM008-A

MM-FM022-C1

#### Inserting Construction Permits from Your Last Bidding Round

You can also click the **Add Licenses** button to insert into *Licenses* the names of construction permits you last bid on.

## **Submitting Construction Permit Names for Bidding**

Once you have entered the names of the construction permits you want into the *Licenses* field, you should look over your list. If you wish, you can add more names to, or delete one or more names from, the list. When you have finished working with construction permit names, click either **Submit** to obtain the Place Bids page (see page 15) or **Cancel** to cancel the Type Bids operation and return to the Bidding page.

When you click **Submit**, any of three things can occur:

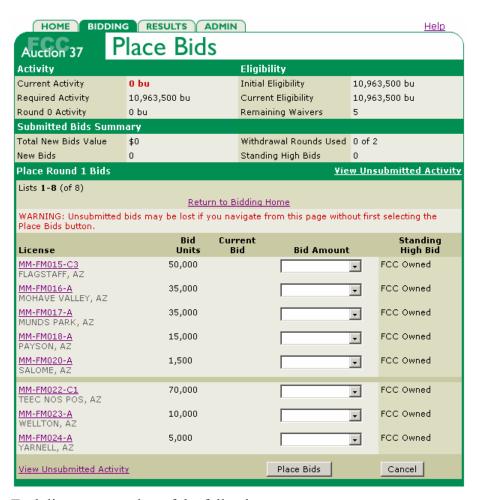
- If all the names you submitted represent valid construction permits for this auction and construction permits on which you are eligible to bid, the Place Bids page appears, with the permits listed at the bottom.
- If all the names you tried to submit are either invalid or represent construction permits on which you are not eligible to bid, you remain on the Type Bids page and a *No Eligible Licenses* error message appears at the top.
- If your list of names contains at least one valid and eligible construction permit, the Place Bids page appears. It lists the eligible construction permits at the bottom and shows an *Invalid Licenses* error message at the top telling how many invalid names you tried to submit. If desired, you can click the **Bidding** tab to go back, correct the errors, and resubmit the construction permits.

To place a bid, go to the Bid Amount field and select a value from the drop-down list. Once you have finished specifying bids, click the **Place Bids** button to submit them.

**Important:** If you leave the Place Bids page without clicking **Place Bids**, your unsubmitted bids may be lost.

#### 4.1.3. Place Bids Page

The Place Bid page has an entry for each construction permit that you specified using either the *State* filter or the Type Bid feature.



Each list entry consists of the following:

- **License:** The name (in the format <u>Service Code-Market-Class</u>) of the license/construction permit and location of the service area.
- **Bid Units:** The number of bid units associated with the license/construction permit.
- **Current Bid:** Any bid that you (or another bidder from your company) has placed in the current round.
- **Bid Amount:** A drop-down list of the 9 acceptable bid amounts.
  - These value options do not change during the round. Thus, until the round closes, you can go back and submit a bid with a different value from the **Current Bid**.
- **Standing High Bid:** The name of the current high bidder, along with the amount of their bid, as of the close of the preceding round. If no bid has been placed on a license/construction permit, the field shows *FCC Owned*.

To place a bid, go to the Bid Amount field and select a value from the drop-down list. Once you have finished specifying bids, you can click the **Place Bids** button to submit them.

**Important:** If you leave the Place Bids page without clicking **Place Bids**, your unsubmitted bids may be lost.

Before you actually place the bids you have selected, you may want to see how those bids will affect your activity.

#### 4.1.3.1. Viewing Activity before Submitting Bids

To preview how submitting your bids will affect your activity, click the **View Unsubmitted Activity** link at the bottom of the permit list, which produces an Unsubmitted Activity window.



This window lists three items:

- Activity: Total number of bidding units associated with all unsubmitted bids.
  - If you select a higher or lower bid amount for a permit on which you have already bid in the current round, or place a bid on a permit for which you are the standing high bidder from a previous round, this number will not change, because your activity is not affected.
- Bids: Total number of unsubmitted bids, including bids that have been raised or lowered.
- Value: The net difference, in dollars, between submitted bids (in the list of licenses/construction permits on the Bidding page) and unsubmitted bids.

For example, suppose that in the current round you placed a \$2,000 bid on a construction permit valued at 500 bidding units. Then, while the round is still open, you select \$1,900 from the Bid Amount drop-down list for that permit. Here is what you should see in the Unsubmitted Activity window:

**Activity:** 0 bu (because there is already a bid on this construction permit)

#### Bids: 1

Value: -\$100 (because you lowered the bid by \$100)

Once you have finished specifying bids, click the **Place Bids** button to submit them.

**Important:** If you leave the Place Bids page without clicking **Place Bids**, your unsubmitted bids may be lost.

#### 4.1.4. Importing Bids

You can specify the bids you want by importing them in a text file, where each bid entry is on a separate line. Once you have imported a set of bids successfully, you can place them.

## Format for Entries in an Import File

The required format for a bid entry is:

#### Service Code-Market-Class-Submarket, Bid Increment

For this auction, the *Submarket* field is unused and must be set to **0** (zero). *Bid Increment* is a digit between 1 and 9, corresponding to one of the nine acceptable bid amounts for the license/construction permit.

For example, the following entries represent two bids, where the first entry is a bid on FM008 using the first bid increment (i.e., the minimum acceptable bid amount):

```
MM-FM008-A-0,1
MM-FM022-C1-0,2
```

# **Template File**

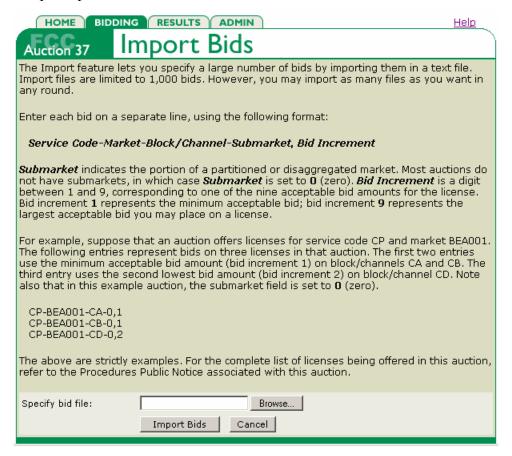
You can use a text editor to create a text file for importing. However, the FCC provides a template file called *template.txt* that contains a bid entry for each construction permit being auctioned. For each entry, the *Bid Increment* term is set to 1 (for minimum acceptable bid amount). You can modify *template.txt* to select the bids you want, then import it into the FCC Automated Auction System.

To obtain the template:

- 1. Point your Web browser at http://auctions.fcc.gov
- 2. On the Auctions Systems page, click the Auction Archives link.
- 3. On the Auction Data Archives page, click the link for Auction 37.
- 4. Click Announcements
- 5. Click *template.txt*. When it appears in your browser, save it to your local disk drive.

#### **Import Procedure**

To import the text file, click either the **IMPORT** link in the left-hand column or the **Import Bids** link at the top right corner of the page. When the Import Bids page appears, type the path to your file or use the **Browse** button to search for it, then click the **Import Bids** button to perform the import operation.



When the import operation has been completed, the Place Bids page appears (see page 15), and lists bid entries that have been imported successfully. For each bid, the page shows the bid amount corresponding to the bid increment you specified. To place these bids, click the **Place Bids** button.

Correcting Errors: If any bid entries in the imported file contain an error, an *Invalid Licenses* message appears at the top of the Place Bids page. An entry may be invalid because it is improperly formatted (e.g., it contains too many or too few fields), includes invalid data (e.g., a numeric field contains alphabetic letters), or was not selected on your Form 175. To correct these errors, click the Cancel button at the top, edit your import file, and do the Import operation again.

#### 4.1.5. Exporting Bids

While a round is open, you can export the bids from any previous round to a text file. Within the text file, an exported bid entry has the same format as an imported bid entry (described in the preceding section), but each exported entry's bid increment is set to 1 by default. Thus, you can easily modify the bid increments in the exported text file as desired and then use the modified file as input for the Import function.

To begin an Export operation, click the **EXPORT** link in the left-hand column. When the Export Bids page appears, select the round you want (or choose all available construction permits from your Form 175), then click the **Export** button.



# 4.2. Removing Bids

You can remove (that is, unsubmit) any bid you placed in the current round. To do this, select the entry by clicking its checkbox in the Most Recent Bids list, and click the entry's checkbox to select it. If a bid you want to remove is not displayed, click the **View New Bids** link to obtain the entire list of new bids. Select any other bids you want to remove, then click the **Remove Selected Bids** button.

You can also remove all of your current round bids without selecting them by clicking the **REMOVE ALL** link at the left of the Bidding Page.

# 4.3. Withdrawing High Bids

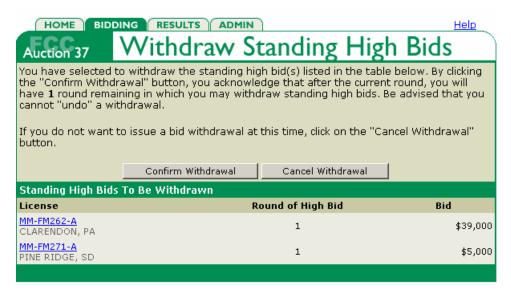
In up to two rounds of the auction, bidders may withdraw high bids they placed in previous rounds. The rounds in which a bidder makes withdrawals are at the bidder's discretion, and a bidder may withdraw as many bids as they wish during those rounds. Be advised that a bidder cannot "undo" a withdrawal, but they can rebid. However, if a rebid is made in the same round as the withdrawal, the rebid will be at a higher amount.

Bidders face a withdrawal payment if the license/construction permit ultimately sells for less than the amount of their withdrawn bid. This payment is the difference between their bid and the selling price. If the license/construction permit is not sold in the current auction, an interim payment of 3% of the withdrawn bid is assessed at the close of the auction. This interim payment is refunded later if the license/construction permit is sold at a higher price in a subsequent auction, or is applied toward the withdrawal payment if it later sells at a price lower than the withdrawn bid. For further information, refer to the Auction No. 37 Procedures Public Notice, DA 04-1699.

To withdraw a high bid, click either the **WITHDRAW** link in the left-hand column or the **View Standing High & Withdrawn Bids** link at the top of the Most Recent Bids list. This produces the Standing High Bids page, which provides lists of Withdrawn Bids from this round and preceding rounds and a list of your Standing High Bids.



For each construction permit on which you hold the high bid, the Standing High Bids list shows the round in which you placed the high bid and its amount. To withdraw a high bid, click the entry's checkbox to select it. Select any other high bids you want to withdraw, then click the **Withdraw Selected Bids** button. The bids to be withdrawn are listed on the Withdraw Standing High Bids page, and you can click the **Confirm Withdrawal** button to complete the deletion operation.



If a high bid is withdrawn, the minimum accepted bid in the next round will be the second highest bid submitted for that permit. That price may be less than or (in the case of tie bids) equal to the amount of the withdrawn bid.

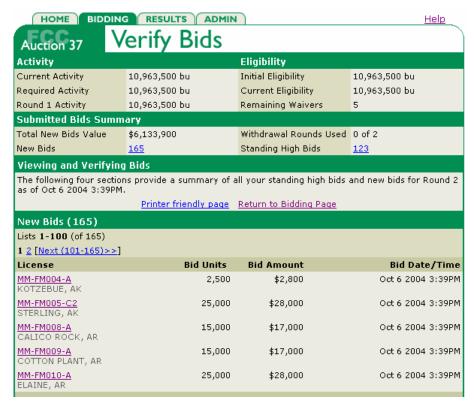
#### 4.4. Viewing Your Bidding Activity

To ensure that the auction closes within a reasonable period of time, an activity rule requires bidders to bid actively throughout the auction, rather than wait until the end before participating. Bidders are required to be active on all of their current eligibility during each round of the auction.

The Activity area in the left-hand column of the Bidding page summarizes your bidding activity and required activity for the most recent round. These values are expressed in bidding units (bu). If your current activity is less than the required activity, the **Current Activity** value is shown in red, and you must place a bid, reduce your current eligibility amount (if eligible to bid on more than one construction permit), or use a waiver, if any are remaining. If no waivers remain, your eligibility will be permanently reduced, possibly eliminating you from the auction. A bidder has a limited number of waivers per auction, regardless of whether it is a proactive or automatic waiver.

# 4.5. Verifying Your Bidding Activity

The Bidding page provides a **VERIFY** link that you can click to obtain a Verify Bids page, which is a system-generated summary of your activity during a given round. The top of the page shows your current activity and required activity for this round. It also summarizes your eligibility, including remaining waivers.



The remainder of the page lists the bids you have made and removed during the current round. It also lists your standing high bids. To obtain a printable version of this page click the **Printer friendly page** link.

**Note:** The FCC recommends printing a copy of the bid verification before the end of each round of the auction for your records.

#### 4.6. Viewing and Reducing Eligibility

The amount of the upfront payment submitted by a bidder determines their initial (maximum) eligibility, in bidding units. In other words, the total upfront payment defines the maximum number of bidding units on which the applicant will be permitted to bid and hold high bids. That figure is displayed in the **Initial Eligibility** field of the Eligibility area.

If your bid is below the minimum activity requirements, you may continue to bid, reduce your current eligibility amount, or use a waiver, if any are remaining. You should reduce your current

eligibility amount if you are below the required activity, do not wish to place any additional bids, and do not want an automatic waiver applied by the FCC Automated Auction System. A bidder has a limited number of waivers per auction, regardless of whether it is a proactive or automatic waiver. If you choose to reduce your eligibility, be advised that this will be a *permanent* reduction. To reduce your eligibility, click the **REDUCE ELIGIBILITY** link in the left-hand column.

#### 4.7. Submitting a Proactive Waiver

A bidder can submit a proactive waiver in order to avoid having to meet the minimum bidding activity requirement in a given round. A proactive waiver can also be used to keep the auction open when no bids are submitted in a round. Bidders are limited in the total number of waivers (proactive and automatic) they may use during the auction. Be advised that once you submit a proactive waiver, you cannot regain it. Submitting a proactive waiver reduces your allotment of waivers *permanently*.

**Note:** You may *not* submit a proactive waiver in a round where you submitted any new bids or withdrew any standing high bids. (You may remove any new bids you submitted in a round in order to submit a proactive waiver. However, withdrawals are not reversible; once you make a withdrawal, you will not be allowed to place a proactive waiver in that round.)

To issue a proactive waiver, click the **SUBMIT PROACTIVE WAIVER** link at the bottom left corner of the Bidding page. This link will be enabled only during the specified bidding period and only if any waivers remain. Clicking it produces the Proactive Waiver page. The text on this page tells how many waivers you have remaining.

To issue a waiver, click the **Submit Proactive Waiver** button. Otherwise, to cancel issuing the waiver, click the **Cancel** button.

## 5. Round Results

Round results are produced when the bidding period for a round has ended. To see the results for the preceding round, click the **RESULTS** tab at the top of the page to obtain the Round Results page.

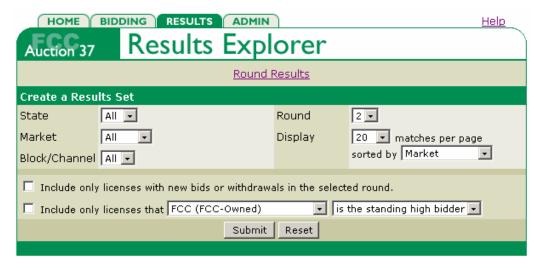


The Round Results page provides the following information:

- Summary information for the preceding round. This summary is identical to the Auction Summary on the Auction Home page (see page 11).
- A drop-down list that lets you obtain information about any bidder. These summaries are identical to the Bidder Summaries on the Auction Home page (see page 12).
- A link to the <u>Results Explorer</u> on page 28, which lets you view results for any preceding round.
- Links to round results reports. See <u>Downloads</u> on page 30.
- List of the high bidder and high bid amount for each construction permit to date.

## 5.1. Results Explorer

The Results Explorer lets you obtain the results for any preceding round and, optionally, filter those results by **State**, **Market**, and **Class**. For this auction only, Class is labeled Block/Channel.



Note the two "Include" check boxes at the bottom:

- The upper check box lets you limit the results to construction permits on which new bids were placed in the specified round.
- The lower check box lets you limit the results to a specific applicant, and view either the construction permits they selected on their Form 175 or the construction permits where they are the current high bidder.

By selecting FCC (FCC-owned), you can view construction permits that have not yet been bid on, or had a bid that was withdrawn.

When you finish specifying your criteria, click the **Submit** button to obtain the results.

#### 5.1.1. Current Results Set

The Current Results Set page lists the construction permits that match your search criteria. It also includes an **Export** button that you can click to create a comma-delimited text file containing your results. For details, see *Exporting Bids from the Current Results Set* on page 29.



#### 5.1.2. Exporting Bids from the Current Results Set

The Current Results Set page provides an **Export** link that you can click to create a commadelimited text file containing your results. This file can also serve as input to the Import feature (see *Importing Bids* on page 20).

To assist bidders wishing to use the Export feature to create import files, the files are created in a format that is compatible with the FCC Automated Auction System's Import feature. Since the bid increment is a required field in the import file, it is included in all files generated via Export, defaulting to a value of 1. However, you may modify the increment if desired.

The Export file contains the following data elements, in order:

- Service Code
- Market
- Class
- Submarket (has the value 0, because this auction does not use submarkets)
- Bid increment (default value = 1, which selects the minimum acceptable bid for the next round)
- Round number
- Company name (set to FCC if no bid has been placed on this construction permit)
- Standing high bid at the end of the selected round, in dollars
- Minimum acceptable bid for the round that follows the selected round, in dollars
- Bid increment for the round that follows the selected round. The bid increment is used to determine acceptable bid amount values 2 through 9.

For example, the following entry contains data for construction permit FM008 based on the round results from Round 5:

This entry shows that the standing high bid in Round 5 was \$33000 and that the minimum acceptable bid amount in Round 6 is \$38000, a bid increment of \$5000.

#### 5.2. Downloads

The Downloads area has links that let you access four different kinds of round results reports. A separate report file is available for each preceding round. All files are available in *txt* and *dbf* format. The reports are:

- All Bids submitted during a round
- **High Bids** lists the high bidder on each construction permit
- **Maximum Eligibility** contains each bidder's current eligibility and number of waivers remaining for the specified round
- Withdrawals lists all bids withdrawn during a round

#### 6. Admin Function

The Admin page, which can only be accessed by bidders, displays information that the entity has submitted on their FCC Form 175. This information includes the applicant's FCC Account ID, Initial Eligibility, and Bidding Credit (if any), plus the address, phone, and fax number of their contact person. It also includes names of the authorized bidders and a list of the construction permits on which they are eligible to bid.



Clicking the **Admin Update** link produces a form that allows a bidder to change their contact's fax number or the names of one or more authorized bidders. You can make other minor changes to the 175 information by clicking the **Form 175 application** link.